

*DP 37-1-1

DEPARTMENT OF THE ARMY
ST. LOUIS DISTRICT, CORPS OF ENGINEERS
1222 SPRUCE STREET
ST. LOUIS, MISSOURI 63103-2833

CEMVS-RM

Pamphlet
No. 37-1-1

28 April 2000

Financial Administration
OVERTIME, COMPENSATORY TIME, AND HOLIDAY SERVICE

1. PURPOSE. To prescribe policy, guidance, and control measures about the financial administration of overtime, compensatory time, and holiday service.
2. APPLICABILITY. Applies to all organizational elements within the St. Louis District.
3. REFERENCES.
 - a. Department of Defense Financial Management Regulation 7000.14-R, Volume 8, Civilian Pay Policy and Procedures, August 1999.
 - b. AR 570-4, Manpower Management, 25 September 1989.
4. RESPONSIBILITIES.
 - a. Commander. The Commander will order and approve overtime in accordance with applicable regulations and policies.
 - b. Approving Authorities. The Deputy Commander, the Executive Assistant, and Division/Office Chiefs will approve overtime, compensatory time, and holiday service in accordance with this policy. In the absence of a Division/Office Chief, an Acting Division/Office Chief (appointed in writing) may serve as an approving authority. Division/Office Chiefs may delegate approval of overtime, compensatory time, and holiday service requests to Branch Chiefs.
 - c. Supervisors. First line supervisors will review overtime requests and ensure overtime work is necessary before submitting to approving authorities. The supervisor's signature on the Time and Attendance Report constitutes certification that:

*This pamphlet supersedes DR 690-1-550, 31 March 1988.

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(1) All hours were reviewed for accuracy; and

(2) All overtime, compensatory time, and holiday hours were approved and worked according to this policy.

Timekeepers will maintain Request, Authorization, and Report of Overtime forms (DA Form 5172-R) along with applicable time sheets and other supporting documentation in accordance with paragraphs 9 and 11 of this pamphlet.

d. Employees. Employees will work the "ordered and approved" overtime.

e. Human Resources Office. The Human Resources Office will interpret policies and regulations about entitlement of overtime, compensatory time, and holiday pay. This is accomplished in accordance with the directives from higher authority. Timekeepers, supervisors, and approving authorities should refer to reference 3a for guidance relating to entitlement of overtime, compensatory time, and holiday service. Specific questions regarding entitlements should be directed to the Human Resource Office.

f. Resource Management Office. The Resource Management Office will interpret all financial administration issues about overtime, compensatory time, and holiday service. This is accomplished in accordance with references 3a and 3b above and this pamphlet.

5. POLICY. AR 570-4, paragraph 5-5b, states the Department of the Army encourages the judicious use of overtime as an alternative to hiring additional manpower whenever it is in the best interests of the Army. Overtime can be less costly than hiring additional employees when all employment expenses are considered. However, overtime, compensatory time, and holiday services should be restricted to the absolute minimum consistent with safety, economy, and efficient management. The above, in general, should be utilized only in unusual, emergency, or special situations. Before establishing overtime schedules, supervisors will review regular 40-hour tours for rescheduling opportunities. Rescheduling the 40-hour tours of any or all employees involved may avoid the need for overtime. Further, supervisors will periodically review situations requiring regular or irregular overtime and will consider ways to reduce or discontinue the overtime. Such situations may include:

a. Preservation of health, welfare, and safety of personnel or protection of Government property.

b. Temporary peak work loads or seasonal requirements when overtime is more economical than hiring additional staff. Approving authorities will:

(1) Personally review high overtime usage situations.

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- (2) Determine if other alternatives are practical.
- (3) Evaluate the overall sufficiency of approved justifications.

6. DEFINITIONS.

a. Regular Overtime. Regular overtime is overtime that is part of the employee's regularly scheduled administrative workweek.

b. Irregular or Occasional Overtime. Irregular or occasional overtime is overtime that is not part of the employee's regularly scheduled administrative workweek.

c. Administrative Workweek. An administrative workweek consists of a period of seven consecutive days, scheduled in advance, within which an employee will work. It includes the basic work hours (i.e., from 0001 on Sunday through 2400 the following Saturday).

d. Compensatory Time. Compensatory time is an alternate method of compensation that may be granted for irregular or occasional overtime work only. It is not authorized for regularly scheduled overtime work.

7. APPROVALS.

a. Approving authorities are accountable for all overtime requests. These officials will ensure overtime usage is minimized. Overtime approval should involve either mission essential situations or circumstances where the Government's cost advantage has the net effect of decreasing expenditures. (Refer to AR 570-4, paragraph 5-5c for descriptions of mission essential situations.) Overtime requests not meeting these circumstances are unsupported and, therefore, should be disapproved.

b. Before approving overtime requests, approving authorities will consider the policy provisions of paragraph 5 above and the following minimum alternatives as listed in AR 570-4, paragraph 5-5c.

- (1) Rescheduling or deferring work of lesser priority.
- (2) Borrowing labor from another work center.
- (3) Transferring work to another work center.
- (4) Establishing flexible work schedules.
- (5) Productivity enhancing initiatives.

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(6) Permitting the use of compensatory time for irregularly scheduled overtime when the employee requests such time as an alternative to paid overtime.

c. Approving authorities will verify that DA Forms 5172-R are accurate, complete, and timely and contain all applicable justifications. (Requirements are addressed in paragraphs 7 through 11 and Appendix A of this pamphlet.)

d. Requests for overtime, compensatory time, or holiday service are submitted to approving authorities before the overtime is worked for advance approval. However, exceptions are permitted in emergency situations that involve:

(1) The preservation of health, welfare, and safety of personnel.

(2) The protection of Government property and interest.

(3) The continuity of operations, which may occur outside regular duty hours making advance overtime approval impracticable.

Confirm "after the fact" overtime by including on the reverse side of DA Form 5172-R an explanation why the request was not made and approved in advance.

e. As a general rule, supervisors will not approve annual leave during the same workweek that overtime is requested. The only exceptions are when deadlines or emergency situations exist. An example is where work must be completed by a specific time and, upon job completion, normal work and leave conditions are resumed. Justify all annual leave exceptions on the reverse side of DA Form 5172-R in the appropriate block or, if after approval, in the "Remarks" section. To provide an audit trail, include an explanation also in the "Remarks" section of the Time and Attendance Report. Attaching a Memorandum for Record to each appropriate form is an acceptable alternative to the above.

8. COMPENSATORY TIME USED.

a. General. Compensatory time off in lieu of overtime pay derives from entitlement to pay for overtime work. At the request of an employee, the approving authority may grant an eligible employee compensatory time off from the employee's scheduled tour of duty instead of payment for an equal amount of time spent in irregular or occasional overtime work. The approving authority may require that an FLSA exempt employee whose rate of basic pay exceeds the maximum rate for GS-10 be compensated for irregular or occasional overtime work with an equivalent amount of compensatory time off in lieu of payment for overtime worked. Refer to 5 U.S.C. 5543, 5544, 6122, 6123, 6127, and 6128 and 5 C.F.R. 550.114.

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b. Usage. Compensatory time off shall be granted to an employee within a reasonable time after the overtime is worked. The limit for the use of compensatory time is the end of the 26th pay period after that in which the overtime was worked. The unused compensatory time then shall be paid at the overtime rate at which it was earned. Compensatory time earned before June 8, 1997 was placed in an "old compensatory time" account on June 7, 1998 and thereafter shall be charged only if the employee has insufficient current compensatory time to cover the time worked.

9. DOCUMENTATION OF OVERTIME, COMPENSATORY TIME, AND HOLIDAY WORK.

a. Use DA Form 5172-R for all requests for overtime, compensatory time, and holiday work. Blanket requests or approvals are unauthorized. Submit a separate form for each pay period.

b. Specific justification statements are required for all requests (see paragraphs 7 through 11 and Appendix A of this pamphlet). All requests will explain the alternatives to overtime considered, why overtime is advantageous to the Government, and/or how it satisfies mission essential needs (see AR 570-4, paragraph 5-5). If overtime actually worked exceeds or is significantly less than overtime approved, attach additional justification/explanation to the related DA Form 5172-R.

c. Supervisors and overtime approving authorities should monitor employees' (including GS/GM 12 and above) compensatory balances and schedule usage to prevent overtime payment. Compensatory time not taken within 26 pay periods from the pay period in which it was earned automatically converts to paid overtime. By adequately monitoring all outstanding compensatory balances, supervisors and overtime approving authorities, in most instances, will avoid such payments.

Attach a Memorandum for Record or include explanations in the "Remarks" section of related DA Form 5172-R and Time and Attendance Report to satisfy justification requirements after the overtime is approved. Where possible, use copies of the DA Form 5172-R with the required statements to be addressed on the reverse side of the form. However, if the DA Form 5172-R in Delrina Form Flow is used, ensure the explanations relating to these required statements are included under "Nature of Duties and Justification for Overtime" on the reverse side of the form.

10. MONITORING OF OVERTIME. The Resource Management Office will distribute a payroll-generated report to timekeepers who will coordinate with applicable supervisors and/or approving officials to assist them in prudent overtime monitoring. Overtime approving officials will ensure that:

a. Overtime is distributed fairly among all employees within the organization.

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- b. Overtime approved and paid for was in fact worked.
- c. Employees in grades GS/GM 12 and above receive compensatory time instead of overtime, as practicable, for irregular or occasional overtime.
- d. Justification/documentation developed supports the need for overtime or holiday service and for exceptions to the above.
- e. Overtime hours actually worked during a pay period agree with overtime hours recorded on the DA Form 5172-R and the Time and Attendance Report. Any differences should be explained.

11. AUDIT CONTROL. Supervisors certifying DA Form 5172-R will ensure timekeepers maintain Time and Attendance Reports for the current year plus six (6) years. The above forms will be available for review by the Commander, the local Internal Review Office, the Inspector General, and Command Inspection teams. Approving authorities will approve overtime requests only if the requests are mission essential or cost advantageous to the Government.

APPENDIX:

A – Request, Authorization and Report
of Overtime



MICHAEL R. MORROW
COL, EN
Commanding

DISTRIBUTION:

All Supervisors
All Timekeepers
CEMVS-RM
CEMVS-RM-F
CEMVS-HR
CEMVS-IM-P (5)
CEMVD-IM (2)

REQUEST, AUTHORIZATION, AND REPORT OF OVERTIME <small>For use of this form, see AR 37-105; the proponent agency is USAFAC.</small>				PAY PERIOD ENDING DATE	DATE PREPARED			
<i>THRU (If applicable)</i>	<i>TO (Approving Officer)</i>		<i>FROM (Office or Division, Branch, Section, Unit or Separate Activity)</i>					
INSTRUCTIONS								
1. A separate request for overtime shall be prepared in an original and two copies for each pay period in which overtime is to be worked. One copy will be retained until the approved/disapproved copy is returned. 2. Enter the name of employees, social security number, grade and step, date work is to be performed, the clock hours of duty, number of overtime hours to be worked by each employee. 3. The requesting official shall sign the request and submit to the appropriate authorizing official. If the authorizing official concurs he/she shall sign the form and return a copy to the requesting office. The original will be forwarded to the Civilian Payroll Office.								
<i>Authority is hereby requested for the performance of the overtime described below which is beyond the regularly established 8-hour day or 40-hour week.</i>								
SOCIAL SECURITY NUMBER	EMPLOYEE NAME	GRADE/STEP	DATE WORK IS TO BE PERFORMED	CLOCK HOURS OF DUTY	NUMBER OF HOURS REQUESTED	METHOD OF COMPENSATION		
						Overtime	Holiday	Compensatory Time
*NOTE: (Employees occupying wage grade positions may not be granted compensatory time, except for employees working alternate work schedules.) (Compensatory time cannot be granted for holiday work.)					TOTAL HOURS			

APPENDIX A

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NATURE OF DUTIES AND JUSTIFICATION FOR OVERTIME (Enter a short description of the work to be performed and the reason why it must be performed by overtime)

1. Employee is GS/GM 12 or above. ___ No ___ Yes (If Yes, complete the following.)

Compensatory time/credit hours are requested. ___ No ___ Yes (If No, need statement that compensatory time was considered and specific reason for exception.)

2. Overtime request is submitted after the fact. ___ No ___ Yes (If Yes, explain why.)

3. Employee has scheduled/plans to take annual leave during week that overtime is to be performed. ___ No ___ Yes (If Yes, explain why annual leave cannot be deferred in order to accomplish task(s) during normal duty hours.

4. Explain why overtime is required, what will be accomplished, and why it cannot be accomplished during normal duty hours.

TYPED NAME AND TITLE	REQUESTED BY (Signature)	DATE
TYPED NAME AND TITLE	AUTHORIZED BY (Signature)	DATE

REMARKS